

U.S. Department
of Transportation

United States
Coast Guard



Commandant
United States Coast Guard

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COMDTNOTE 5100

5 JUL 2002

COMMANDANT NOTICE 5100

CANCELLED:

Subj: CH-7 TO SAFETY AND ENVIRONMENTAL HEALTH MANUAL, COMDTINST M5100.47

1. PURPOSE. This Notice publishes revisions to the Safety and Environmental Health Manual, COMDTINST M5100.47. Intended users of this directive are all units which maintain the manual.
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, and assistant commandants for directorates and special staff offices at Headquarters shall ensure compliance with the provisions of this Notice.
3. SUMMARY OF CHANGES. This document contains changes to the Commandant's Safety Board process in Chapter 3 of the Safety and Environmental Health Manual. It formalizes the process between the approval of the Final Decision Letter and the actual release of the Final Action Message. The Table of Contents has been updated to reflect this change. CH-7 has been bar-marked.
4. PROCEDURES. No paper distribution will be made of changes to this Manual. Official distribution will be made via Coast Guard Directives System CD-ROM and the Department of Transportation website at: <http://isddc.dot.gov/>. An updated electronic version of the entire manual, changes, and announcement of ALCOASTs are available via the Commandant (G-WK) Publications and Directives website at: <http://www.uscg.mil/hq/G-W/g-wk/g-wkh/g-wkh-1/Pubs/Pubs.Direct.htm>. Message notification will announce changes and effective dates.

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NON-STANDARD DISTRIBUTION:

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- a. Remove and insert the following pages:

Remove

Chapter 7, p. 3-13 thru 3-20
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Chapter 7, p. 3-13 thru 3-20, CH-7
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D.W. ALLEN
CHIEF OF STAFF

Encl: (1) CH-7 to Safety and Environmental Health Manual, COMDTINST M5100.47

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ENCLOSURES

- (1) Employee Hazard Reporting, Hazard Identification and Abatement
- (2) Mishap Analysis Report Format
- (3) Medical Officers' Report
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- (5) Format for Coast Guard Aviation Mishap Message
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- (11) Personnel Dosimeter Program Requirements
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are reported only when personnel are operating under orders and civilian personnel in a duty status on or off a Coast Guard installation. Includes government and private vehicles, motorcycles, moped/scooters, bicycles and pedestrian mishaps.

- j. Recreation/Off Duty. Mishaps resulting from sports, recreation, exercise or other activity providing relaxation or enjoyment. This includes officially sponsored activities as well as off duty activities for military.

I. Mishap Investigations Boards.

- 1. Unit Permanent Mishap Board. Each unit shall assign a Permanent Mishap Board. Members of the board, as appointed in the Pre-Mishap Plan (see enclosure (15) to this manual), must be familiar with safety procedures and requirements of this manual, relevant directives, and preliminary mishap analysis procedures before a mishap occurs. Investigation actions by the unit's Permanent Mishap Board after a major mishap should be limited to:
 - a. Securing and protecting the mishap site and wreckage until the arrival of the Commandant's Mishap Investigation Board (MAB).
 - b. Documenting the mishap site and wreckage by written, taped, videotaped and photographed documentation of the wreckage, location of survivors and fatalities and the mishap site. This is especially important if wreckage and bodies must be disturbed before the MAB can arrive.
 - c. Photographing and videotaping to preserve otherwise perishable evidence and aid the investigation. Photograph liberally, but be selective when including photographs in the report.
 - d. Collecting Human Factors Evidence. Take blood and fluid samples of survivors, documenting evidence of mental and physical capability and medical opinion about individuals' ability to return to their duties. See Enclosure (4) for more guidance.
 - e. Safeguarding Electronically Stored Data. Immediately safeguard "continuously recorded" memory units. This can be accomplished by assuring power is not applied to the aircraft or memory unit or by removal of the unit. Failure to do so can result in the overwriting and loss of valuable mishap data. This includes crash survivable memory units in flight data recorders (FDR), electronic cockpit voice recorders (CVRs), and nonvolatile memory (NVM) chips on circuit cards from electronic engine controls, programmable navigation equipment, and other avionics. Contact Commandant (G-WKS) and (G-SEA) for guidance.
 - f. Witness Statements. Physical and documentary information is usually the most credible form of information, but witness accounts often provide important leads. Witnesses include those involved in the mishap, those who saw it, and those whose training and experience

qualify them as experts. See enclosure (2) and (4) to this manual for guidance on the collection of witness statements.

- g. Collecting and securing aircraft, boat crew training and administrative records and files.
 - h. The Unit Permanent Mishap Board should also be familiar with the Coast Guard Administrative Investigation Manual (AIM), Decedent Affairs and other U. S. Coast Guard investigations that may be required as a result of the incident. The Unit Permanent Mishap Board should be familiar with what type of mishap information can be shared with other investigations (see enclosure (10) of this manual).
- 2. Class A or B Commandant Mishap Analysis Board (MAB). MAB's will be appointed and convened at the discretion of Commandant (G-WKS) to investigate and report on Class A & B Mishaps. Enclosure (4) to this manual describes the Class A and Class B MAB composition and process. In cases where Commandant level review of mishap command policies, training procedures or equipment deficiencies are not anticipated, Commandant (G-WKS) may delegate this responsibility to the reporting custodian or an officer in the chain-of-command senior to the custodian. In these cases, Commandant (G-WKS) will specify the scope and requirements of the unit investigations. These boards vary in composition according to the circumstances of the mishap.
- 3. (G-CCS) may designate additional attendees as deemed necessary.
Commandant's Safety Board (CSB). Once the report from a Commandant convened MAB (see 3.J.1.f, below) reaches Headquarters, a CSB shall be convened.
 - a. The CSB shall review the MAB report and endorsing comments and develop a report for Commandant (G-CCS). This report shall include:
 - (1) A synopsis of the mishap
 - (2) Classification and cost of the mishap
 - (3) Determination of the causal factors
 - (4) Determination of additional findings
 - (5) Determination of recommended corrective actions
 - (6) Other remarks as appropriate
 - (7) Information for the final update of the Coast Guard Mishap Reporting and Data System
 - (8) Development of a draft Commandant (G-CCS) Decision Letter and Final Action Message
 - b. Within 90 days of receipt of the MAB report and comments, the CSB shall forward the CSB report and draft Final Decision Letter to Commandant (G-CCS) for consideration. After review, Commandant (G-CCS) will issue a Final Decision Letter directing the corrective actions to be taken.

- c. Upon approval of the Final Decision Letter, Commandant (G-CCS) will notify the Commandant prior to releasing the investigative results. As warranted, the Commandant will be briefed in the following types of mishaps:

- On-Duty Fatality or Permanent Partial Disability
- Loss of Coast Guard Asset
- Extensive Non-Coast Guard Property Damage or Personal Injury

Attendance at this brief, which will be determined by (G-CCS), will vary by mishap type and may include (G-CV), (G-I), (G-L), (G-WK), the applicable Assistant Commandant(s) responsible for unit/program involved, and the Area/District Commander.

- (1) The purpose of this brief, which normally will be given by the President of the appropriate CSB within two weeks following approval of the Final Decision Letter, is to ensure appropriate staff elements are aware of the pending release of the findings and that required staff actions have been initiated. Likely staff actions could include preparation of a press release and draft media guidance (G-IPA), scheduling the notification of members or next of kin (Area or District Commander), development of Congressional outreach strategy (G-ICA), and preparation of a draft Secretary Alert (CGHQ 3517E) (G-WKS).
 - (2) Attendees shall bring drafts of any correspondence, notifications, or press releases that are anticipated to the brief. Commandant (G-WKS) will provide each attendee a copy of the approved Final Decision Letter and draft Final Action Message. After all required staff actions have been completed, Commandant (G-CCS) will release the Final Action Message.
4. Class A or B Off-Duty Mishap Boards. MAB's will be appointed and convened at the discretion of Commandant (G-WKS) to investigate and report on Class A and B off-duty mishaps. In most cases, mishaps involving off-duty Coast Guard military personnel will be investigated by the member's permanent command and the results will be included in the required mishap report (see 3.J.2.c). This includes off-duty motor vehicle mishaps, sports, hobbies or permissible outside employment activities. The mishap report shall include the results of any outside (non U. S. Coast Guard) investigations. Local law enforcement investigation report and related documents should be a major source of information. If away from a member's permanent command, the permanent command may request that a local command conduct the investigation.
5. Class C and Class D Unit Mishap Boards. Units shall generally conduct local investigations for Class C and D mishaps and the results of the investigation shall be included in the required mishap report (see 3.J.2). For high interest

Class C, D or HIPO mishaps, a Commandant (G-WKS) MAB may be assigned to investigate the mishap or the unit may be tasked to complete and submit a formal report. The reporting custodian shall normally be the appointing and convening authority for Class C and Class D mishap investigations. Enclosure (4) to this manual provides information on the makeup of Class C and D Unit Mishap Boards.

6. Joint Mishap Boards. In the event of a mishap involving the Coast Guard and other United States military aircraft or property, a joint board may be convened, if considered appropriate by both Commandant (G-WKS) and the Safety Chiefs of the service safety centers. Each service shall be represented on the Joint Mishap Board. The appointment of the MAB President, selection of board members and the report format, shall be by mutual agreement between Commandant (G-WKS) and the chief of the safety center involved.
7. Auxiliary/NTSB Boards. By Memorandum of Understanding between the Coast Guard and the NTSB, Auxiliary aircraft mishaps will be investigated by the NTSB. A Coast Guard representative will be assigned to such investigations. Immediate initial reports to Commandant (G-OPF) and (G-WKS) are required to ensure timely NTSB notification. Preliminary and Supplemental Mishap Message Reports shall be filed.

J. Mishap Reporting.

1. Class A and Class B Mishaps.
 - a. Immediate telephone report. (Not required for off-duty Class A or B mishaps.) Unit commanding officers or officers-in-charge shall immediately report all Class A and Class B to their Chain of Command. **Within four hours** of a Class A or B mishap, a telephone report, by the Command, shall be made to the Coast Guard Headquarters Command Center (G-OPF), 202-267-2100. This initial report shall include as much information as is available and should include location, time, and injury to personnel and or damage to Coast Guard property. See Section 3.J.1.b below for additional immediate aviation telephone reporting requirements.
 - b. In addition to Class A and B mishaps the following incidents, require an immediate telephone report to Coast Guard Headquarters:
 - (1) All Coast Guard mishaps likely to cause intense or unusual reaction from the public or news media.
 - (2) All Coast Guard mishaps requiring notification of the NTSB.
 - (3) A Coast Guard auxiliary aircraft involved in a Class A or Class B mishap while operating under written or verbal orders.
 - (4) A Coast Guard aircraft is involved in a mishap with a foreign aircraft, or a mishap occurring in a foreign country.
 - (5) Serious Near Midair Collision as discussed in chapter 2.

- (6) Whenever deemed appropriate by the Commanding Officer or operational commander.
 - (7) Personal Casualty as discussed in Section 3L of this chapter.
- c. Preliminary Message Report. **Within 12 hours** of a Class A or Class B Mishap, a priority message report shall be sent to Commandant (G-WKS), MLCLANT (kse), MLC PAC (kse), the Area and the operational commanders, by the unit experiencing the mishap. The 12-hour delay is designed to allow for immediate rescue/recovery actions and for the collection of more detailed information. For aviation mishaps, follow the format specified in Enclosure (5) to this Manual and info AIG 8907. For vessel underway mishaps, follow the format specified in enclosure (6) to this manual. For all other mishaps, follow the format specified in enclosure (9) to this manual. This message should include as much information as is available.
 - (1) The preliminary message shall amplify and expand on the data provided during the immediate telephone report regarding location, time, and injury to personnel and/or damage to property.
 - (2) The preliminary message shall contain factual information only. It shall not contain information based on witness statements or other testimonies. If some of the required information is unavailable or incomplete, subsequent supplemental messages shall be sent.
 - (3) Do not list the names or social security numbers of members involved in the mishap on the message. If necessary, injury reporting can be by crew position or rank.
 - (4) If there are serious injuries, personnel missing or deaths involved, personnel data must be reported in a Personnel Casualty Report within four hours. (See Section 3.L of this chapter.)
- d. Progress/Supplemental Message Report. A Progress/Supplemental message report shall be sent **within 72 hours** of a Class A or Class B mishap to Commandant (G-WKS) and appropriate headquarters offices. The MAB President shall send this message, or the unit, if the MAB has not convened. Progress/Supplemental messages shall be sent thereafter at the MAB President's discretion or as directed by Commandant (G-WKS). For aviation mishaps, use the format in enclosure (5) to this manual or optional MAB progress message format in enclosure (14) to this manual. For vessel underway mishaps, follow the formats in enclosure (6) to this manual. For all other mishaps, follow the format in enclosure (9) to this manual.
 - (1) The MAB President shall send an arrival message notifying headquarters that all MAB members have arrived and that the

MAB has assumed the investigation. This information may be included as part of the Progress/Supplemental message and the MAB progress message format in enclosure (14) to this manual may be used.

- (2) The MAB President shall send a supplemental message, if critical information is discovered, when the MAB adjourns and if it reconvenes.

NOTE: If the MAB discovers information that seriously impacts Coast Guard operations, the MAB President shall immediately notify Commandant (G-WKS) by telephone. A supplemental message shall be sent, regardless of whether such information is associated with the mishap under investigation. Commandant (G-WKS) will notify the appropriate Coast Guard Headquarters offices and other agencies and ensure that proper action is taken.

- e. Final MAB Message. A final MAB message shall be sent when the MAB concludes the on site investigation and analysis. Because the final MAB process is not complete at this point, Commandant (G-WKS) shall be the releasing authority for the message. The President of the MAB shall confer with and receive Commandant (G-WKS) permission prior to release. The final message report shall contain:
 - (1) A short factual synopsis of the event.
 - (2) Date the MAB adjourned.
 - (3) Description of damage.
 - (4) Disposition wreckage and/or status of salvage operations.
 - (5) Specific recommendations the MAB feels should be brought to the immediate attention of field commands.
 - (6) The message shall not contain opinions or speculation regarding the mishap.
 - (7) Upon receipt of the final MAB Message, Commandant (G-WKS) shall notify the reviewing chain of endorsement deadlines contained in this manual and offer MAB briefings to expedite the reviewing process.
- f. Commandant Mishap Analysis Report (MAR). Every Commandant appointed MAB should produce a MAR. Enclosure (2) to this manual provides a description and format for the MAR. Enclosure (3) to this manual provides a description and format for the Medical Officer's Report, which should be made part of the MAR when applicable.
 - (1) Within 21 days after the MAB completes their on-site investigation and analysis, the MAB President shall forward the original MAR. The original MAR shall be forwarded to Commandant (G-WKS) via the commanding officer and

appropriate chain of command for review and endorsement.

- (2) Commandant (G-WKS) shall inform the endorsement chain, via message of endorsing deadlines and the importance of timely review.
- (3) When desired, Commandant (G-WKS) shall provide funding for member(s) of the MAB to brief endorsers, to assist in understanding the incident and to streamline the review process.
- (4) Because mishap reports contain sensitive and privileged material, it is imperative that the reports be controlled. Therefore, only a limited number of copies and copyholders are authorized. See enclosure (2) to this manual for specifics. The MAB President is the only MAB member authorized to keep a copy of the MAR. Reviewers in the chain are not authorized to hold a copy, and shall not be provided or reproduce a copy, unless requested of and authorized by Commandant (G-WKS). The MAB president will return his MAR copy to Commandant (G-WKS) after the Final Action Message is released.

2. All Mishaps. Commandant (G-WKS) maintains automated computer systems for the collection and analysis of mishap data. The type of mishap (see section 3.H.3 above) determines the type of message report that is required.
 - a. Flight, Flight Related and Aviation Ground mishaps not requiring a formal MAR shall be reported by message following the format in Enclosure (5) to this manual. Class C Aviation mishap messages shall be submitted within 14 days. Class D and Class E Aviation Mishap messages shall be submitted within 21 days.
 - b. Vessel Underway Operational Mishaps shall be reported by message following the format in enclosure (6) to this manual. Class C Vessel Underway Operational mishap messages shall be submitted within 14 days. Class D Vessel Underway Operational mishap messages shall be submitted within 21 days. For Class A or Class B Vessel Underway Operational mishaps, a Vessel Underway Operational Mishap message shall be included as part of the MAR (see section 3.J.1.e above).
 - c. All Other Types of Mishaps including vessel-related (non-operational) and shore mishaps shall be reported by message following the format in Enclosure (9) to this manual. Class C mishap messages shall be submitted within 14 days. Class D mishap messages shall be submitted within 21 days. For Class A or Class B mishaps an Enclosure (9) mishap message shall be included as part of the MAR (see section 3 J.1.e above).
3. Annual Reports. Commandant (G-WKS) will produce and publish annual safety awareness reports for the aviation, shore and vessel communities.

These separate reports will be distributed to the appropriate field commands and will include a summary and analysis of mishap data.

- K. Limitations on the Use and Disclosure of Mishap Investigations and Reports. A thorough understanding of the concept of privilege and confidentiality as used in the Safety Program is essential for the proper investigation of mishaps. Enclosure (10) to this manual discusses the use and restrictions of safety privilege. If the causal factors and the sequence of events that culminated in a mishap are to be determined and similar mishaps prevented, it is imperative that all parties involved either in the mishap or the administrative/legal investigation and mishap review process understand and honor the privileged nature of the information. These concepts are critical to the success of the Coast Guard Safety Program. The statements, material, and information obtained during a mishap investigation are for the sole purpose of mishap prevention and must be handled according to the provisions of this instruction.
- L. Personnel Casualty Reporting. Personnel Casualty Reporting is required in addition to Mishap Reporting when the casualty is the result of a mishap or may be a stand-alone requirement in a non-mishap personnel event. It is not within the scope of this chapter to address Personnel Casualty Reporting in detail.
1. Immediate telephone notifications are required for Class A and B on-duty mishaps to chain of command, and the Preliminary Mishap Message Report is required within 12 hours for both on and off-duty Class A and B mishaps. See sections 3.J.1.a and 3.J.1.b of this chapter.
 2. Immediate telephone notification to HQ Command Center (202) 267-2100 is required for death or death imminent situations. In addition, a Personnel Casualty Report Message is required within four hours of receiving personnel casualty information whether the result of a mishap or other causes, on or off duty. Procedures, message instructions, and format reside in the Personnel and Pay Procedures Manual, HRSICINST M1000.2, Section 5.A and enclosure (7) and in the Personnel Manual, COMDTINST M1000.6A, Chapter 11, Section A.
 3. Though some message information will overlap, this ensures sufficient information is provided on the mishap and on the member's personal data, providing a wide distribution of the mishap information, yet protecting the member's privacy.
 4. An Administrative Investigation may also be required in a personnel casualty case whether or not the result of a mishap. Contact Commandant (G-OPF) for additional information and see the Administrative Investigations Manual, COMDTINST M5830.1, Section G.4.